

RECORDS RETENTION SCHEDULE

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION California Public Utilities Commission		(2) AGENCY BILLING CODE 59300		(3) PAGE 1 OF 3 PAGES	
(4) DIVISION/ BRANCH/ SECTION Legal Division		(5) ADDRESS 505 Van Ness Avenue San Francisco, CA 94102			
CHECK THE APPROPRIATE BOX					
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]					
(7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)					
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)					
NEW SCHEDULE INFORMATION (If applicable)		(9) SCHEDULE NUMBER LL1	(10) SCHEDULE DATE 01/29/08	(11) NUMBER OF PAGES	(12) CUBIC FEET (Total Schedule) 586
PREVIOUS SCHEDULE INFORMATION (If applicable)		(13) SCHEDULE NUMBER LL1	(14) APPROVAL NUMBER 03-100	(15) APPROVAL DATE (S) 7/08/08	(16) PAGE NUMBER(S) REVISED (17) None
(17) MISSION/FUNCTIONAL STATEMENT The California Public Utilities Commission Legal Division (CPUC) represents the Commission and California citizens in all proceedings under the Public Utilities Act and Article 4 of the California Constitution and provides advice and representation in all matters relating to California utility regulation and oversight. The mission of the Legal Division is to provide legal expertise coupled with Commission expertise in order to make the Commission a more effective organization..					
PART I – AGENCY STATEMENTS					
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. <i>For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.</i>					
(18) SIGNATURE – MANAGER RESPONSIBLE FOR THE RECORDS <i>Cindy Phillips</i>		(19) TITLE AGPA		(20) PHONE NUMBER 415 703-2201	(21) DATE SIGNED 01-29-08
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.					
(22) SIGNATURE – RECORDS MGMT/ANALYST <i>Gary R. Munhan</i>		(23) CLASSIFICATION BSO II Supervision	(24) NAME (Printed or Typed) Gary R. Munhan	(25) PHONE NUMBER (415) 703-1860	(26) DATE SIGNED 01/29/08
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)					
(27) SIGNATURE – CalRIM CONSULTANT <i>Janice C. Farley</i>		(28) APPROVAL NUMBER 08-039		(29) DATE SIGNED 2/5/2008	(30) EXPIRATION DATE 2/5/2013
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)					
THE ATTACHED RECORDS RETENTION SCHEDULE:					
(31) <input checked="" type="checkbox"/> Contains no material subject to further review by the California State Archives					
(32) <input type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)					
(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <i>Sydney Baileys</i>			(34) DATE SIGNED 2/29/08		



ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

<u>ADMINISTRATIVE RECORDS</u>											
[Front Office Records]											
1	2		Administrative Correspondence	P		Active + 3			3		Inactive when correspondence inquiries/requests satisfied. Destroy on-site.
2	2		Chron. Files: Fax Copies	P		10		10	20	XI	Front office backup duplicates of all Legal Division correspondence, excluding attachments. Destroy at SRC.
3	4		Personnel/Training Records & Related Documents	P		Active + 5			5	XI	Personnel files become inactive when employee transfers or terminates, and no possibility of litigation exists or no proper claim is filed. Training materials are active until superseded or after training completed. Destroy on-site.
4	1		Invoices, Service Contracts, Requisitions & Related Documents	P		Active + 4			4		Destroy on-site four years from date record becomes inactive (i.e., when invoice paid, when requisitioned stock is received, or when service contract no longer in effect).
<u>PROGRAM RECORDS</u>											
5	12		Advisory	P		Active + 5		10	15	XI	Unpublished Legal Opinions, memos and advice prepared for Commissioners, Commission staff and the public. Become inactive when matter is finalized and possibility of appeal or remand.
6	1		Record Production Requests, Subpoenas Duces Tecum, Public Record Act Requests, Transmittal letters in reply	P		Active + 3			3	XI	Active until any related court action is complete. Civil Code Sec. 1798.27: 3 years minimum retention of released records list. Destroy on site.
LITIGATION -- ADMINISTRATIVE PRACTICE											
7	80		(A) CPUC	P		Active			Active		Once inactive, destroy on site.
8	80		(B) FERC	P		Active + 3		7	10	X	Destroy at SRC.
9	70		(C) FCC	P		Active + 3		7	10	X	Destroy at SRC
10	100		(D) Bankruptcy	P		Active + 3		7	10	X	Destroy at SRC

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			LITIGATION - TRIAL PRACTICE								
11	70		(A) CPUC	P		Active			Active	X	Shred in office
12	70		(B) All State Courts	P		Active + 3		7	10	X	Destroy at SRC
13	90		(C) All Federal Courts	P		Active + 3		7	10	X	Destroy at SRC
			RECORDS MANAGEMENT								
14	1		Std Form 70, Records Inventory Worksheet	P		CURRENT			CURRENT		Retain as <u>CURRENT</u> til next inventory, or when no longer needed for reference or analysis, whichever is later.
15	1		Std. Form 71, Records Transfer List	P		CURRENT			CURRENT		Retain as <u>CURRENT</u> until records have been either destroyed, retired permanently, transferred to State Archives, or are no longer needed, whichever is later.
16	1		STD 73 Records Retention Schedule	P		CURRENT			CURRENT		<u>RETAIN AS CURRENT UNTIL REVISED.</u> <u>NOTE:</u> Although revision is required every five years from date of approval from DGS, RRS that are not revised remain in effect but are considered <u>NON-CURRENT</u> .
17	1		Authorization for Records Destruction (Computer Printout)	P		4			4		Retain for 2 years from date destruction is authorized. Then retain 2 more years or until audited, whichever occurs first.